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# Code of Ethics and Implementation Plan for Casa Cornelia Law Center

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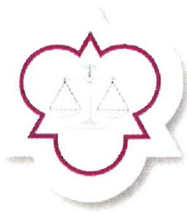
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Code of Ethics  
and  
Implementation Plan  
for



Casa Cornelia Law Center

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May 2011

University of San Diego  
Leadership and Ethics  
LEAD 502

Allison Bechill  
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## I. Our Project

Our project was to develop a code of ethics for Casa Cornelia Law Center (CCLC) that outlines the ethical principles that reflects its values and the manner in which the board, staff and volunteers are expected to carry out the organization's mission and conduct their work. To accompany the Code, we created a three-year implementation plan to assist the organization in assimilating the Code into the organizational culture of Casa Cornelia.

There are many reasons why a widely adopted Code of Ethics is beneficial to an organization. According to Kidder, efforts to answer questions about what is the right thing to do, "often take shape in codes of ethics or statements of principles—brief listings of the core moral values by which one should live" (p. 79). Furthermore, "the spirit and the drive of the organization, ingredients so crucial to success, are nurtured and enhanced by adhering ceaselessly to demanding ethics" (Neuschel, p. 126).

Having a code of ethics supports this nurturing process and provides a framework for ongoing conversations about ethics. This is very important because, as noted by Zigarmi, "the creation of a values-driven community requires a habitual pattern of open discussion... Values driven leaders and values driven organizations are formed through meaningful, choice-filled dialogue and action" (Zigarmi, p. 35).



## II. Our Client

Founded in 1993, Casa Cornelia Law Center (CCLC) is a 501 (c)(3) public interest law firm that provides a bridge to justice for those who have come to the U.S. from all over the world, seeking safe refuge. CCLC was founded by Sister Ann Durst, an attorney and a member of the Society of the Holy Child Jesus, and is named for Cornelia Connelly, the Society's founder, an immigrant who knew personally the suffering entailed by separation from children and homeland.

Among San Diego's immigrant community exists a large population of men, women and children who have a legal right to remain in the United States, but are unable to access this right due to poverty, domestic abuse and other barriers. Lack of access to quality legal representation keeps these individuals from enjoying safe, healthy lives, achieving economic independence and integrating into our communities.

Casa Cornelia carries out the Christian commitment to serve refugees, asylees, and immigrants; a commitment that is rooted in the Gospel mandate that every person is to be welcomed as if he or she were Christ Himself. Casa Cornelia is non-partisan and non-denominational and does not discriminate on the basis of race, ethnicity, gender, religion, age, disability, or sexual orientation.

*Mission:* CCLC is a public interest law firm providing quality pro bono legal services to victims of human and civil rights violations. The Center has a primary commitment to the indigent within the immigrant community in Southern California. Casa Cornelia strives to educate others regarding the impact of immigration law and policy on society and the public good.

*Goals:* None of the individuals assisted at CCLC—not even the children—have a right to a court-appointed attorney and many would be forced to go before the Court alone. CCLC’s goal is to identify indigent men, women and children who have legal relief under the law and provide full legal representation, ensuring that their rights are protected. All services are offered free of charge.

CCLC’s Board of Directors is comprised of sixteen members who represent a broad range of faith, legal, corporate and education communities. The current staff, led by an Executive Director, numbers 11 full-time employees, one full-time volunteer, and 5 part-time employees . Though small, Casa Cornelia Law Center is the largest legal services organization providing free legal representation to immigrants in San Diego County. One-hundred percent of the legal staff, including CCLC's Executive Director, is bilingual and bicultural. In 2010, over 200 volunteers from San Diego’s legal and educational communities provided over 19,000 volunteer hours to CCLC’s legal programs.

Casa Cornelia’s work is guided by the principles of the Servant Leader model of leadership, as it is a natural fit with the mission and culture of Casa Cornelia. As noted by Ferch, “the idea of the leader as servant is rooted in the far-reaching ideal that people have inherent worth, a dignity not only to be strived for, but beneath this striving a dignity irrevocably connected to the reality of being human” (p. 226).

### III. Our Process

Kidder asserts that doing what is right “emanates from careful attention to a code of ethics that is crafted not in the heat of the moment but well ahead of time in the coolly reflective recesses of an organization’s collective thinking. This process makes a code clearly worthwhile” (p. 88). In alignment with this thought, we used a methodology of the Institute of Cultural Affairs (See Appendix A) and hosted a focus group at Casa Cornelia Law Center to gain information and input. The participants represented all aspects of the organization and included the organization’s founder, current and former employees, board members, a former client, and organizational volunteers (See Appendix B). This provided a rich experience as we had the all components of the organization involved and the entire time spectrum of the organization covered.

We began by discussing what a code of ethics is and how an organization can use this document. We then reviewed key pieces of organizational information, including its mission and spirit; information on the Society of the Holy Child, which was instrumental in the founding of the organization; and the Thomas More Prayer for Attorneys (See Appendix C). As Casa Cornelia Law Center does not have a specific document dedicated to organizational values, these three documents combine to provide the values framework that guides the organization. This provided the foundation for our work to develop a code of ethics for the organization.

We then asked the participants to each come up with up to eight one-word ethical concepts that they believe describe the work of Casa Cornelia. All of our participants came up with eight, with the exception of one who came up with seven. The next step was for participants to put their words on the wall. If a previous participant had the same word already

posted on the wall, she was asked to align her word with the one already posted. While we expected great similarity before we began the process, we actually had very little overlap.

After each participant had posted their ethics on the wall, we began a process of operationalizing the words to see if we could find any similarities so we could group the words together. Our goal was to get to eight umbrella titles with underlying words that reflected the meaning and intention of the title. After our first attempt, we had nine groupings. The group was able to get to eight easily and all were grateful they did not have to pare down to seven. However, after further discussion the group arrived at six titles supported by a list of words and descriptors that further define the meaning of the title.

As a final step, the group worked to prioritize the titles in numeric order to further reflect how the ethics build upon each other. This proved to be an important part of the exercise as the group felt that while the ethics they decided upon did layer upon each other, they did not want to communicate that one ethic was more important than another. It was for this reason that we originally considered displaying the Code in a circular model to illustrate the interdependence and flow from one ethic to another. While this remains a valid visual, as our work evolved we recognized the commonality that had emerged from the components of our Code with the Prayer of Thomas More used by the organization. We decided to utilize the prayer in communicating the Code of Ethics as it reinforces the culture of the organization by building on existing organizational values. With the information gathered at this meeting, we worked to compile the input and further operationalize each of the values to create a code of ethics for Casa Cornelia.

#### IV. Code of Ethics

Drawing on Thomas More as an exemplar of the qualities important to Casa Cornelia Law Center, the following Code of Ethics serves not only as guiding values, but also as aspirations for all who represent Casa Cornelia. Everyone in the organization, from staff to volunteers to members of the board, should use this code to guide their work on behalf of the organization, as each is an ambassador of Casa Cornelia in the community.

*Loving God, giver of life and law, grant that we may minister to justice with compassion.*

*In this pursuit, help us to strive, as did Thomas More,  
to be able in argument and accurate in analysis, strict in study and reasoned in conclusion.*

*Make us candid with clients and honest with adversaries.*

*Keep us wary of cleverness lest we win the point but lose ourselves.*

*Teach us to treasure gentleness and simplicity. Listen with us as we listen to clients,  
be with us as we search for truth, stand with us as we argue in court.*

*Grant us courage, wisdom, and counsel. Keep each and all kind and cheerful.*

**Thomas More Prayer for Attorneys**

#### Spirit of Service

*Keep me kind and cheerful.*

Honor the mission and spirit of CCLC by continuing the tradition of joyful, compassionate service to each and every member of the human family. Foster a spirit of unwavering love, courage, kindness and optimism among colleagues and with those served. Be deeply committed to serving clients, and persevere on their behalf even in the face of ignorance and oppression. Extend this spirit to colleagues and all we touch by our work.

### **Human Dignity**

#### ***Help me to treasure gentleness and simplicity.***

Treat all people with respect, equality, gentleness and trust. Embrace the responsibility to care for yourself and to support others with whom you work by listening, being a team player and modeling a balanced life. Remain able to serve one another and fulfill our mission with a hopeful attitude in service of the good for yourself and others.

### **Justice**

#### ***Seek to minister to justice with compassion.***

Guide your day-to-day actions by the principle of equity. Be objective and show concern for others through your work and your attitude. Work for the fair treatment of all clients in accordance with the law. Treat colleagues and adversaries with evenhandedness by using sound reason and not letting personal feelings bias your decision making. Strive for impartiality and righteousness with all. Honor CCLC's commitment to justice for all through your actions.

### **Wisdom**

#### ***Grant me courage, wisdom and counsel.***

In all situations, act as a zealous advocate for our clients while maintaining a true and clear vision of the situations they face and our ability to address them. Cultivate the wisdom to understand what can be done, and the ability to accept our conclusions. Avoid any and all conflicts of interests. When deliberating a course of action, consider the impact on all involved, without compromising the organization's mission or ability to carry out its work. Strive to be inclusive of different thoughts, beliefs and cultures. Examine issues from all sides rather than only seeking information that confirms what you already believe. Have the courage to act in accordance with our mission and code of ethics.

### Integrity

*Make me candid with clients and honest with adversaries. Keep me wary of cleverness  
lest I win the point but lose myself.*

Conduct yourself, in all interactions, with candor and the highest level of professional responsibility. Be honest in all dealings, fair in decision making and trustworthy among colleagues, clients and adversaries. Be forthright and realistic with clients, staff, volunteers, adversaries and others who are engaged with CCLC, always ensuring their full understanding of situations and options. Provide fair and balanced education on immigration law to clients, partners in service, and the general public.

### Excellence

*Strive to be able in argument and accurate in analysis, strict in study and  
reasoned in conclusion*

Contribute to the reputation for excellence Casa Cornelia has in all areas of our work. Be creative within the scope of the law when addressing insurmountable challenges; continually educate yourself and those around you and listen closely to all you encounter so you will understand their message. Invest in thorough preparation to achieve high-quality results for all stakeholders. Understand the governmental, political and social climates and the broader contexts that influence our work.

## V. Implementation Plan

Research suggests, “people generally feel that they have a strong obligation to obey the law. Education about the legal standards and a supportive environment may be all that’s required to insure compliance” with organizational values (Paine, p. 111). Understanding that a values-driven community requires more than compliance to the law but a habitual pattern of open discussion and focus, we have created a three-year implementation plan to help Casa Cornelia’s new Code of Ethics take deep root. The plan provides ever-present opportunities for individuals to act upon the agreed-upon collective values of the organization (Zigarmi, 2008), to participate in regularly scheduled conversations and experience others modeling ethical behavior.

The implementation plan begins with the introduction of the Code to all employees of Casa Cornelia. All staff and long-time volunteers will be invited to participate in thoughtful activities at the Mission Reflection Day scheduled for Friday, May 20, 2011. This day is planned as a time for reflection on the organization’s mission and an opportunity for stakeholders to share stories on how they carry out the mission through their day-to-day responsibilities. These are commonly referred to as “war stories.” Stakeholders will be invited to share war stories that reflect the new Code of Ethics. Recognizing the importance of the tone at the top and the positive modeling of organizational leaders, the Code will be introduced by the founder and the Executive Director. This will be followed by breakout sessions in which small groups will be given case studies (See Appendix E) to solve using the Code. When the entire group reconvenes, each small group will perform their case and explain the solution they reached using the Code. This activity can be followed by a larger discussion about situations when staff and volunteers have encountered ethical dilemmas, how they were handled, and what kind of support structures they feel would be most beneficial to their work and mental well-being.



As part the Code's introduction and in order to establish a baseline measurement of how people currently involved with the organization think about organizational ethics, we recommend that CCLC participate in an Ethics Survey designed by the Caster Center for Nonprofit Research (See Appendix D). This tool is completed online by both organizational staff and board members. After the initial completion, the staff at the Caster Center has agreed to provide up to six hours of consultation to the organization. This time can be used to interpret survey results, design follow up activities or address questions of the staff or board.

In working with the consultants, CCLC should pay particular attention to transparency in terms of how the results are shared with various stakeholders and utilized in organizational materials and communications. While the implementation plan seeks to inform the enculturation of the Code, the leadership at CCLC should adapt the plan based on the survey results to inform the ongoing activities designed to integrate the Code into the organizational culture. The survey will be taken in Year One, after the introduction and at the beginning of the implementation process. It should then be conducted again at the end of the implementation period in 2014, Year Three (See Appendix F).

Casa Cornelia uses the artwork of John Swanson as a way to illustrate who they are and the work they do (See Appendix G). His paintings can be found hanging throughout the offices and meeting spaces of CCLC and on the website describing the organization's mission and inspiration. We recommend building upon this tradition and commissioning Swanson to create new paintings to illustrate each of the six ethical values. As the Code is built upon the Prayer of St. Thomas More and the mission of Casa Cornelia, both of which are accompanied by colorful artwork, the creation of artwork for each of the six ethics would communicate the importance of the Code and put it on equal footing with the other cultural pillars of the organization. This

artwork would join the current pieces by being hung throughout the offices of Casa Cornelia. In addition, the artwork can be used on the webpage, annual report and other documents produced by the organization.

With the unveiling of each art piece, we recommend hosting a discussion about that specific ethic for the staff and board members. This learning time would include sharing war stories and ideas for how this ethic can be demonstrated by each individual in the organization. We anticipate the completion of at least two pieces of art each year. This would allow us to extend this element of the implementation plan throughout the three-year period.

Once all of the paintings have been completed, we recommend creating value awards for each ethic in the Code. This would provide another opportunity to use the painted illustrations for each ethic while recognizing individuals throughout the organization for exemplifying a particular ethic in their work. All employees could participate in the nomination process and articulate why their nominee is deserving of recognition. The presentation of these awards provides another learning opportunity for employees and volunteers to truly understand and operationalize what is meant by each ethic in the code. These awards would be presented at the quarterly all-staff meetings and board meetings.

In Year Two, we recommend kicking off the new year with a focus on the code and inviting all employees and volunteers to participate in the “Ethics Cube Project.” This is a six-sided photo cube that will hold each of the six ethics from CCLC’s code of ethics. Each participant will be invited to illustrate through words or pictures how each of the ethics relates to him/her in their work. Once completed, willing participants can share their creations with the group. After the meeting, the cubes can be placed in each person’s office to serve as personal reminders of the Code and their individual commitment to honoring each ethic.

While the activities described above are valuable events in starting a conversation and a change effort around organizational ethics, they must be complemented by the continuous integration of procedural changes and the ongoing modeling of ethical behavior. As Casa Cornelia engages with a wide variety of constituents, from indigent clients to volunteer attorneys and students, there are a number of built-in opportunities to share the Code of Ethics with others during their initial interactions with the organization. This outreach will help shape and establish the organization's culture as reflected in the Code of Ethics and as represented by the organizations outside constituents.

For volunteer attorneys and students (which includes clinical interns, law students, and undergraduates), the Code should be included in the recruitment materials, such as brochures and in-person presentations. During initial client screenings and interviews, the Code should be shared, in the appropriate language or orally depending on the client's literacy level, in the context of what they can expect from CCLC in their interactions together. We recommend translating a simplified version of the Code into the native language of all of CCLC's clients. When appropriate, we recommend using the circular depiction of the values during interactions with clients because of its simplicity (See Appendix G).

For staff and board members, we recommend the ongoing use of case studies as a framework for discussions about the Code. These will provide opportunities for evaluation of "real life" situations that require ethical decision-making while mirroring the activities done on Mission Day. As asserted by Kidder, "merely analyzing a dilemma is not to resolve it. Resolution requires us to choose which side is the nearest right for the circumstances. This requires some principles for decision making" (Kidder, 1995). Using case studies will allow for employees and board members to use the Code as the basis for their decision-making. Starting

to do this in a group format will provide scaffolding for individuals to do decision-making independently as they carry out their formal duties for Casa Cornelia. For the organization's use, we have attached sample case studies from the Center for Global Ethics that may be used for this exercise (See Appendix E), although real-life examples provided by board and staff should also be incorporated whenever possible.

The Code of Ethics also serves as a framework for discussing expectations for and commitments with CCLC's partners in service. This includes not only those with whom CCLC has formalized partnerships, but anyone with whom CCLC engages in its work, from law enforcement agencies to social advocacy groups to federal prosecutors. The Code should be included in all Memorandums of Understanding (MOU) and other partnership agreements. Similarly, the recruitment and training process of staff and board members should include meaningful discussions about the values of the organization and how individuals are expected to reflect and uphold these values. This will increase their abilities to appropriately represent CCLC and to model ethical behavior to others by their actions.

To be successful, an implementation plan must touch each and every part of the organization on a regular basis. The plan provides a continuous strategy for presenting learning opportunities for all stakeholders so they understand and act according to the Code. In order to gauge the progress and effectiveness of these strategies, the plan includes a pre- and post-survey that will measure the ethical culture of the organization before and after implementation.

"In ethics, as in the rest of life, there are no magic answer systems" (Kidder, p.163). Such is true with implementation plans. However, in ethics, unlike the rest of life, there is no such thing as too much of a good thing. Thus, the leadership of Casa Cornelia should feel empowered to supplement the presented plan as abundantly as they desire.

## References

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# What is The Technology of Participation (ToP)?

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More in this Section...



The Technology of Participation (ToP)® teaches team members how to collaborate on projects and teaches group facilitators how to effectively lead their teams. ToP provides methods that:



- Recognize and honor contributions of all
- Let a group deal with more data in less time
- Pool individual contributions into larger more informative patterns
- Welcome diversity while minimizing polarization and conflict

**Code of Ethics Focus Group Participant List**  
**Casa Cornelia Law Center, March 2011**

*Participant List*

1. Sister Ann Durst, Esq. – Founder; member of the Society of the Holy Child Jesus
2. Carmen Chavez, Esq. – Executive Director
3. Elizabeth Camarena, Esq. – Former staff and board member; involved with CCLC since 1996, continues work with the organization closely
4. Dilkhwaz Ahmed – Former client; Executive Director of partner organization License to Freedom; celebrated the 9 year anniversary of the granting of her political asylum on 3/16/11, the day of this meeting; originally from Northern Iraq
5. Bonnie Sanchez – Volunteer with CCLC's Children's Program; member of the Ignatian Volunteer Corps
6. Pam Daniels – Current board member; Pastoral Counselor; former Methodist Minister

*Facilitators*

1. Janine Mason
2. Allison Bechill

## Appendix C

### Casa Cornelia Code of Ethics Development Meeting

Welcome and Introductions	12:00 - 12:10
Why we are here	12:10 - 12:20
Ethics course	
Create a code of ethics that reflects the culture and spirit of the organization	
What is a code of ethics?	
Process	12:20 - 1:10
<ul style="list-style-type: none"><li>• One way to start is with organizational values – review mission, prayer and inspiration</li><li>• Review handouts for themes, words, characteristics</li><li>• Use your own experience/vision</li><li>• Each person list 8 ethical characteristics – (10 minutes)</li><li>• Group them and work toward a common vision of the key concepts – up to 8</li></ul>	
Next Steps	1:10 – 1:20
<ul style="list-style-type: none"><li>• We will then work to operationalize the code and it will be brought back to the organization with a plan for implementation and acceptance</li></ul>	
Questions	1:20-1:30



### **What is a code of ethics?**

A code of ethics is a guide or reference to support ethical decision-making. It clarifies an organization's values. Good codes educate, build consensus and awareness.

What should it do?

- Build trust
- Build consensus around important issues
- Guide decision-making
- Raise awareness about ethics
- Encourage reporting of misconduct
- Eliminate the gray areas

Codes are designed to:

- Raise ethical expectations (provide inspiration)
- Encourage dialogue about ethics
- Encourage ethical decision-making
- Prevent misconduct

Codes should be:

- User-friendly and written in every day English
- Can be short (values specific) or long and detailed
- Realistic as well as inspirational
- Specific to your setting

When writing a code:

- Think in terms of values, beliefs and expectations.
- Consider: What has gone wrong? What could go wrong? What are the gray areas?
- Be straightforward in your writing.
- Give examples if that helps.



# Casa Cornelia Law Center

## Mission and Spirit

Casa Cornelia Law Center (CCLC) is a 501(c)(3) public interest law firm providing quality pro bono legal services to indigent victims of human and civil rights violations. CCLC has a primary commitment to persons within the immigrant community in Southern California. CCLC seeks to educate others regarding the impact of immigration law and policy on the community and the public good.

CCLC was founded by and is sponsored by the Society of the Holy Child Jesus (Society), a religious congregation founded by Cornelia Connelly in the 19th century. The mission and spirit of CCLC is rooted in the Society's tradition of service and in the belief that God chooses to need men and women in every age to reveal God's love and to make known the reality of God's saving presence through service to others.

CCLC seeks to foster a spirit of simplicity, honesty, kindness and cheerfulness among colleagues and with those served. It has chosen Thomas More as the exemplar of these qualities to mark its commitment to integrity in the practice of law.



*The Peaceable Kingdom ©. Serigraph by John August Swanson*





# Casa Cornelia Law Center

## THOMAS MORE

Casa Cornelia Law Center  
Prayer for Attorneys

Loving God, giver of Life and Law,  
grant that we may minister to justice with compassion.  
In this pursuit, help me to strive, as did Thomas More,  
to be able in argument and accurate in analysis,  
strict in study and reasoned in conclusion.  
Make me candid with clients  
and honest with adversaries.

Keep us wary of cleverness  
lest we win the point but lose ourselves.  
Teach us to treasure gentleness and simplicity.  
Listen with us as we listen to clients,  
be with us as we search for truth,  
stand with us as we argue in court.  
Grant us courage, wisdom and counsel.  
Keep each and all kind and cheerful.



*Thomas More, the exemplary attorney*







## Casa Cornelia Law Center

### Society of the Holy Child Jesus

The Society of the Holy Child Jesus (Society) is an international congregation of women within the Roman Catholic tradition committed to providing service to others. Cornelia Connelly founded the Society in England in 1846. The law center is named after this nineteenth century American woman whose courage, faith and vision gave birth to the Society.

Today the Society is comprised of three provinces: African, American and European. Its international offices are in Rome, Italy; the offices of the American Province are in Rosemont Pennsylvania, USA.

Although Casa Cornelia Law Center is a legally independent corporation governed by its own Board of Directors, CCLC is sponsored by the American Province of the Society and is recognized as one of its corporate works.

Society of the Holy Child Jesus Website



## Appendix D

### Overview of the Nonprofit Ethics Survey

The Nonprofit Ethics Survey provides a practitioner-friendly survey to assess the perceptions of ethics held by the various people responsible for the day-to-day operation or the governance of nonprofit organizations. The instrument measures the following seven constructs:

- Daily-Ethics Behaviors
- Organizational Transparency
- Openness of Communication
- The Decision Making Process
- Opportunities for Training and Education
- Advocacy
- Governance

The survey is designed to be taken by volunteers, direct line staff, management, administration, and board members and allows analysis at two different organizational levels; board and staff. The results can provide a framework for understanding current conditions and may help to highlight “gray areas” where there could be opportunities for training or increased communication. The survey may be taken periodically to measure change over time. This statistically sound instrument is well-grounded in theory ensuring that nonprofit organizations are able to accurately self-assess from an ethical perspective. Responses to the survey questions will be analyzed anonymously. Personal information or individual responses will not be revealed to the researchers or the participating nonprofit organizations, and all data will be reported in the aggregate.



<http://www.globalethics.org/dilemmas>

Founded in 1990, the Institute for Global Ethics (IGE) is an independent, nonsectarian, nonpartisan, 501(c)(3) nonprofit organization dedicated to promoting ethical action in a global context. Our challenge is to explore the global common ground of values, elevate awareness of ethics, provide practical tools for making ethical decisions, and encourage moral actions based on those decisions.

## Quality Time Better Spent?

After graduating from college with a degree in science, Andy finds a solid job in his profession, married, and had two sons. Twelve years later, he moves to another company promising him steady advancement within its managerial ranks. A devoted family man, Andy admires his wife's dedication to raising their boys. But he also observes that his sons, approaching their teen years, benefit greatly from his fatherly friendship and counsel-especially as they approach what he and his wife realize could prove to be a difficult transitional period in their upbringing. So he has made a commitment to spend plenty of time with them, playing baseball and helping with their schoolwork.

But he also loves his work, and does well at it. And it has become apparent that to advance rapidly up the managerial ranks, he needs an MBA. A nearby university offers the degree in an evening-and-weekend program that would allow him to continue full-time employment, but it would soak up his free time for the next several years and throw most of the family activities into his wife's hands.

Where should Andy focus his attention?

## Honor The Cost of Philanthropy

As chief legal officer in a well-respected company making lifesaving drugs, Alistair has been asked by his board of directors to look into rumors of price-fixing in the firm's European offices. His board has a very strong ethics policy, and is especially wary of price-fixing, bribery, kick-backs, and other unethical activities that can plague overseas operations.

After several months of detailed interviews in Europe, Alistair satisfies himself that the rumors are groundless. "There's no issue here," he heard several managers say. "But," added one such manager, "if you really want something to investigate, look into the Bosnia contract."

Over the months, Alistair keeps hearing about "the Bosnia contract." So when he finishes his report on the price-fixing rumors, he decides to satisfy his curiosity on this matter. The contract, he discovers, is ordinary in almost every respect: A major relief organization has contracted with his company to supply a million inexpensive kits of medicine for delivery into the war-torn regions of Bosnia. Like most such contracts with charitable organizations, it contains hardly any profit for his firm.

## Appendix E

### Case Studies

What he finds strange, however, is the payment of an extraordinarily large commission to a Romanian distributor to deliver the kits deep into Bosnia. Seeking out the executive in his own firm who negotiated the contract, he has one question in mind: Is this a bribe?

"Yes and no," says the executive. According to the Romanian distributor, the backs of the delivery trucks are loaded with the kits—and the glove compartments are stuffed with cash. That way, when the drivers are stopped at roadblocks set up by local militia units operating all across Bosnia, they can pay whatever is demanded and continue their journey. "In the past," he notes, "drivers without cash have been taken from their trucks and shot. If the kits are to be delivered, this is the cost of doing business."

Alistair feels sure that none of the money has flowed back to the executive, whose only motive is to get the kits delivered. And by this time, the deliveries have already been made. Yet Alistair still faces a dilemma. Should he draft a separate report to the board on this most unorthodox contract—possibly causing great harm to the executive who negotiated it or embarrassment to the relief organization, which is aware of the commission? Or should he keep silent?

What should Alistair do?

## **Honor Who To Protect?**

Don Riles, insurance claims adjuster, has the day off. He is playing with his 4-year-old daughter Erica when the telephone rings. At the other end of the line, Don's supervisor, apologizing for interrupting his time off, pleads for his help. Will Don please visit a woman in his neighborhood who has made claims for bodily and mental injury resulting from a car crash with a person insured by Don's company? The woman has consented to a visit from their adjuster to assess the injuries to her nose and mental state. (Apparently the crash has caused her to relapse into a condition of paranoia and manic depression, previously stabilized.)

The claims adjuster in charge of the case has called in sick—scheduling the appointment has been difficult. Will Don please fill in? Don agrees readily, but asks if he could bring his daughter—it is their day together while his wife worked. Don's supervisor gratefully assures him that bringing the little girl along is no problem.

When Don arrives at the woman's house, he discovers no one at home, so he and his daughter wait in the car. Eventually, the woman arrives, parks, and emerges from her car, at which point Erica cries happily, "It's Miss Anderson!"

"Who is Miss Anderson?" asks her father with surprise. Miss Anderson turns out to be Erica's daycare teacher. Don conducts a short interview with the woman on the front steps of her home, satisfying himself that she does indeed have some facial injuries and that she is taking prescription medicine for her mental problems.

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### Case Studies

Following the interview, Don realizes that he has a real dilemma. Insurance ethics mandates that claims investigations are completely confidential. An insurance professional with knowledge of a claims case is expected to keep silent and to refrain from using the knowledge for personal benefit. On one hand, to uphold his industry's code of ethics, he is not to discuss or act on the information he has received about Miss Anderson's situation. On the other hand, he does not want his daughter under the care of a person who is undergoing treatment for mental illness and who might be dangerous. Don's wife is also an insurance claims adjuster, working for a separate company. Still, even if Don tells her, she is bound by the same professional code of ethics.

What should Don do?

## How the Chips Fall

Mr. Potato Chip Company has been a well-respected regional manufacturer for many years. Recently the company has decided to expand into new markets to assure a competitive advantage. To do this, they will need to attract new investors, and to accomplish that, they will need to show they are capable of producing a solid return on investments each year.

In keeping with these objectives, a policy has been instigated which reduces the finished products' inventory to a rock-bottom level each June 30th, which is the end of the company's fiscal year. Why? The lower the inventory, the less money is tied up. This situation, in turn, tends to put the company in a better cash position at year end, which means that more money can be passed on to the stockholders as earnings per share.

As the recently hired production manager, Jane realizes there is a downside to this policy. With inventory levels on June 30 lower than at any other point during the year but with demand for potato chips higher than usual, the net result is an inability to meet the total customer demand for various types of potato chips. In fact, once inventory levels are reduced, it will take more than a month to get the process back to normal and running smoothly again. The effect, Jane predicts, will be both lost sales at year end and a number of operations problems associated with a low-inventory situation.

For Jane, the dilemma is whether or not to confront senior management with these problems. Should she question the wisdom of the policy?

## Coral Corruption

A scientific research organization studying pollution damage to coral on Australia's Great Barrier Reef has a problem common to all scientific research—how to get enough funding to carry on the work. All their worries appear to be solved when quite out of the blue one of the large multinational corporations operating in the country offer significant ongoing financial support.



## Appendix E

### Case Studies

There is a "hitch," however. The company has recently suffered adverse publicity through an article claiming they are responsible for some of the pollution. In return for the financial support they not only want the research company to refute these claims, but also to study a section of the reef where there are no pollution problems. Bribery and corruption, you say? Yes, it is hardly a right-versus-right dilemma for the multinational corporation; most certainly downright wrong.

But is there a right-versus-right dilemma for the scientists trying to solve the barrier reef's problems without the necessary funding to accomplish their task? Is it better to make a short-term compromise in order to carry out work that could benefit the environment for the long term and that otherwise might not be possible? It seems that efforts to find other sponsors are meeting with no success at all.

What should the researchers do?

## **Danny Needs Help**

Returning to his desk one afternoon, Richard reviews his options with some anxiety. As a caseworker in a community agency providing counseling and temporary shelter for abused and troubled youth, he has just visited the state human services office—without much success. His goal had been to persuade the state to accept custody for Danny, a 15-year-old boy whose parents were, in Richard's eyes, seriously abusive. The law on this point is, he feels, perfectly clear: Danny has the right to state guardianship if an investigation shows he is clearly in imminent danger.

But Janice, the state worker on duty that afternoon, feels otherwise. Reviewing the request, Janice tells Richard that the state would not accept custody of Danny. As far as she could determine, Danny is not really in imminent danger of physical injury. And, at 15, he is better able to take care of himself than many others who are referred to her every day.

Richard knows it is a difficult decision for Janice. After all, she and he are in the business of social work because they care about children like Danny. It is not her fault that, given recent budget cutbacks, priorities have tightened, excluding children who once would have qualified for state support. Still, he feels strongly that the potential danger for Danny is real and immediate. His responsibility, he knows, is to promote Danny's welfare.

Should he, then, try to pressure the department into accepting custody by appealing Janice's decision to her unit supervisor? If he appeals the decision, there is some chance that it would be overturned and that Danny would win state support. But Richard works cooperatively with Janice and her co-workers on a regular basis. Would he jeopardize future relations—and maybe lose his effectiveness in cases far more serious than Danny's—if he challenges her decision?

## **In Defense of Due Process**

The Callabra Foundation was set up two decades ago as a private 501(c)(3) organization, independent of its parent company, the Callabra Construction and Development Corporation. The foundation is governed by a board of directors, all of whom are senior management in the company. Truman Johns is the executive director of the foundation, responsible for overseeing its financial and programmatic activities. His duties include forwarding recommendations for funding to the board of directors as well as issuing final approval for disbursement of funds. The board meets three times yearly to review all recommended applications.

One morning, the director of finance for Callabra Construction instructs Truman Johns to process a check for \$2.5 million to a well-known national antipoverty organization. The director of finance explains to Johns that he is making the request on behalf of Hank Weeds, a new member of the foundation's board of directors and part of the new management team brought in by the corporate owners. The director of finance wants assurance that the check would be sent immediately, questioning the need for a review since, as he made quite clear to Johns, the appeal is from a member of the foundation board.

Slightly stunned by the request, Johns feels that turning down the request would be the right thing to do. The grant would provide little visibility for Callabra Construction or for the foundation itself. Furthermore the proposed project does not seem to reflect the foundation's areas of interest nor the company's business objectives. To approve an application made in this manner would set a precedent for other organizations somehow connected with foundation board members.

On the other hand, Hank Weeds has power and authority within both the company and the foundation. As a new member, he might not be fully aware of the rules and procedures followed by the foundation to assure equitable and defensible decision making. Although the grant itself appears to meet the legal requirements of the foundation's operating guidelines and does not involve any self-dealing, this abrupt demand seems somehow wrong to Johns. He tells the director of finance that he would reach a decision over the next 24 hours.

## **Lost in translation?**

Brian McNally is a part-time faculty member at a mid-sized university located in Boston, Massachusetts. He has worked for the University in his current capacity for less than five years, but is well versed in the university's policies he has agreed to uphold.

In McNally's survey course on American History, an international student turns in her first term paper. During the grading process, McNally discovers that the student's work is a textbook case of plagiarism. The majority of the paper is copied directly and without attribution from the references listed at the back of the student's paper, and little of the work is the student's own.

The university has a strong policy about plagiarism, which is outlined in the course syllabus that McNally knows this student received. When confronted about plagiarizing her paper, she claims

## Appendix E

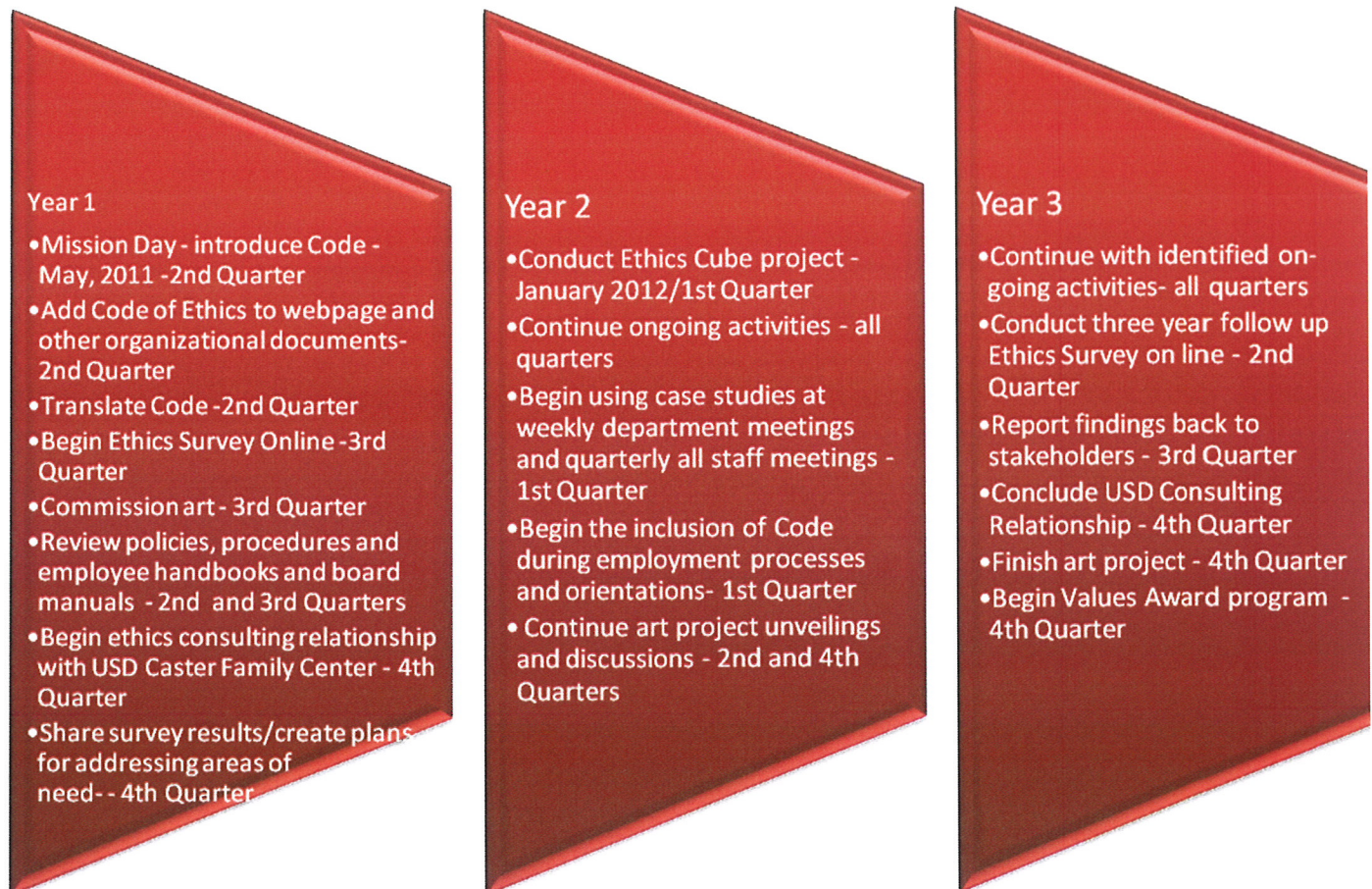
### Case Studies

that she did not realize what she was doing was plagiarism, since the academic culture in her own country is very tolerant of such copying. McNally explains to her that the policy, as outlined, requires that he fail her, but that he would consider her explanation over the weekend.

In this justice-versus-mercy decision, McNally thinks that on one hand it is right to fail her and maybe even eject her from the class, because there would be no chance for her to pass the course after failing this assignment. He would be just in his decision because the rules were clear. On the other hand, it is right to show mercy and ask her to rewrite her paper. If she truly did not understand the rule, it would seem unfair to penalize her so harshly, especially if this was just a case of cultural mistranslation.

What should McNally do?

Casa Cornelia Law Center  
Code of Ethics Three Year Implementation Plan Timeline



Ongoing Activities to Implement the Code

- Volunteer Attorney (VA) recruitment presentations
- Volunteer Attorney trainings
- Client orientations upon case assignments and mentoring opportunities
- Student volunteer orientations (interns, undergrads, law students – all same orientation/training)
- Guided discussions on thematic artwork
- Employee and board recruitment materials and activities
- Entire staff meetings (quarterly)
- Department meetings (weekly)
- Board meetings (quarterly)
- Discussions/MOUs with partners in service
- Board retreats
- Staff/volunteer performance discussions (expectations and review)
- Any board evaluations, self/360/external
- Website Updates
- Annual Reports
- Media Inquiries/stories

## Appendix F

### Casa Cornelia Code of Ethics Implementation Check List

*Specific activities to augment the ongoing work of implementation*

#### Year One

- ☐ Mission Day – May 2011
- ☐ Add Code of Ethics to webpage and other organizational documents – 2<sup>nd</sup> Quarter
- ☐ Translate Code into needed languages – 2<sup>nd</sup> Quarter
- ☐ Begin Ethics Survey with USD Caster Family Research Center – 3<sup>rd</sup> Quarter
- ☐ Commission artwork – 3<sup>rd</sup> Quarter
- ☐ Review policies, procedures, employee handbook and board manual – 2<sup>nd</sup> and 3<sup>rd</sup> Quarters
- ☐ Begin ethics consulting with USD Caster Family Research Center – 4<sup>th</sup> Quarter
- ☐ Share survey results with stakeholders and create plans for addressing areas of improvement – 4<sup>th</sup> Quarter

#### Year Two

- ☐ Conduct Ethics Cube project - January 2012/1st Quarter
- ☐ Continue with identified on-going activities – all quarters
- ☐ Begin using case studies at weekly department meetings and quarterly all staff meetings 1st Quarter
- ☐ Begin the inclusion of Code during employment processes and all orientations- 1st Quarter
- ☐ Continue art project unveilings and discussions - 2nd and 4th Quarters

#### Year 3

- ☐ Continue with identified on-going activities- all quarters
- ☐ Conduct three year follow up Ethics Survey on line - 2nd Quarter
- ☐ Report findings back to stakeholders - 3rd Quarter
- ☐ Conclude USD Consulting Relationship - 4th Quarter
- ☐ Finish art project - 4th Quarter
- ☐ Begin Values Award program - 4th Quarter





## The Art of John August Swanson

[SITE MAP](#)

- ▼ About the Artist
- ▶ Catalogue
- ▶ News & Events
- ▶ Cards & Posters
- ▶ The Great Catch Mosaic
- ▶ The Serigraph Process
- ▶ Contact the Artist

## About the Artist



**JOHN AUGUST SWANSON** makes his home in Los Angeles, California, where he was born in 1938. He paints in oil, watercolor, acrylic and mixed media, and is an independent printmaker of limited edition serigraphs, lithographs and etchings.

His art reflects the strong heritage of storytelling he inherited from his Mexican mother and Swedish father. John Swanson's narrative is direct and easily understood. He addresses himself to human values, cultural roots, and his quest for self-discovery through visual images. These include Bible stories and social celebrations such as attending the circus, the concert, and the opera. He also tells of everyday existence, of city and country walks, of visits to the library, the train station or the schoolroom. All his parables optimistically embrace life and one's spiritual transformation.

John Swanson studied with Corita Kent at Immaculate Heart College. His unique style is influenced by the imagery of Islamic and medieval miniatures, Russian iconography, the color of Latin American folk art, and the tradition of Mexican muralists.

His art is in no way "naïve." It is detailed, complex, and elaborate. Unlike many contemporary artists, John Swanson works directly on all phases in producing his original prints. His serigraphs (limited-edition screen prints) have from 40 to 89 colors printed, using transparent and opaque inks creating rich and detailed imagery. For each color printed the artist must draw a stencil on Mylar film. This stencil is transferred to the silk screen for printing the color ink on the serigraph edition. The resulting serigraph is a matrix of richly overlaid colors visually striking and technically masterful.

Mr. Swanson's art is represented in the permanent collections of many museums, including three museums of the Smithsonian Institution: The National Museum of American History, The National Museum of American Art and The National Air and Space Museum. He is also included in the print collections of the Art Institute of Chicago, Harvard University's Fogg Museum, the [Tate Gallery](#) and Victoria and Albert Museum in London, and the

Bibliothèque Nationale in Paris. His painting THE PROCESSION is one of relatively few works by contemporary artists to be selected for the Vatican Museums' Collection of Modern Religious Art. In 2008, an extensive collection of John August Swanson's works were purchased by Emory University's Candler School of Theology to hang on the walls of their new 76,349 square foot building. He was awarded *The Dean's Medal* for his art's transformative effect on the campus. With over 55 works hung, this is the largest open public display of the artwork of John August Swanson.

*Life* magazine, December 1994, featured John Swanson's painting ENTRY INTO THE CITY for the article "Who Was Jesus?". This painting was purchased for the Center of Continuing Education building at the University of Notre Dame.

In 1995 Orbis Books published *There Is A Season* which featured Swanson's painting, ECCLESIASTES. It is a series of meditations in art and words on the famous passage from Ecclesiastes. Joan Chittister, O.S.B. wrote the text. This book won the Catholic Press Association's 1996 first-place award in spirituality.

John Swanson was awarded the Doctor of Humane Letters degree *honoris causa* from California Lutheran University, Thousand Oaks, California, on May 11, 1996, in recognition of his visionary achievements as a graphic artist. The University also recognized Ray Bradbury, in literature, and Norman Corwin, in radio and film.

At the invitation of The Polis Institute of Indianapolis (Indiana University/Purdue University), in November 1998 John Swanson held an exhibition and lectured at Christian Theological Seminary as part of the annual Spirit and Place Festival. In conjunction with this event, he led a very successful three-day retreat based on his art called "Bringing Stories to Life Through Art: The Journey of the Spirit" at the Fatima Retreat House, Indianapolis.

## Appendix H

Simplified Code of Ethics (to be translated when needed)

### Casa Cornelia Code of Ethics

